

Records Management for Managers

The “*what’s in it for me*” of Federal Records Management

National Archives and Records Administration, Fall 2002

Have you noticed.....

Records management is in the news

INS "Failure" and it's not about good stuff! System Faulted

A Brush With Sniffles

INS "Failure" Charges in Visa Case

The aftermath of events in the United States, including the recent terrorist attacks, has led to a renewed focus on the security of the nation's borders. The INS "Failure" charges in the Visa case are a result of a system faulted by the INS.

FBI Management Will Probe Failure to Produce Papers in McVeigh Case

The FBI is set to probe the failure of the INS to produce papers in the McVeigh case. The FBI is set to probe the failure of the INS to produce papers in the McVeigh case.

Patro Talks Tough on Terrorism

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Destruction of Iran Coup Data Sparks CIA Search for Other Missing Records

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Many Votes Crucial

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Up to 40,000 Tax Returns Lost in PA Facility

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The New York Times

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Papers Found During Fifth Search at Federal Facility

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Dept of Interior Admits Some Indian Trust Records "No Longer Exist"

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Old-Fashion


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Auditors Say U.S. Agencies Lose Track of Billions

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What do their problems have to do with me?







 They ~~are~~ were Federal employees

 You are a Federal employee, too, and are subject to the same laws and regulations

 You must manage records so as not to make the same (or different) mistakes that put you or your agency in jeopardy



Well managed records...

-  **provide information you need to conduct business**
-  **document your work**
-  **help Government operate efficiently**
-  **ensure accountability**
-  **protect rights and interest of the public and other stakeholders**
-  **protect information with enduring value**

So what should I do?

Ensure that records of your business activity are trustworthy

Apply ISO 15489

-  **AUTHENTICITY**
-  **RELIABILITY**
-  **INTEGRITY**
-  **USABILITY**







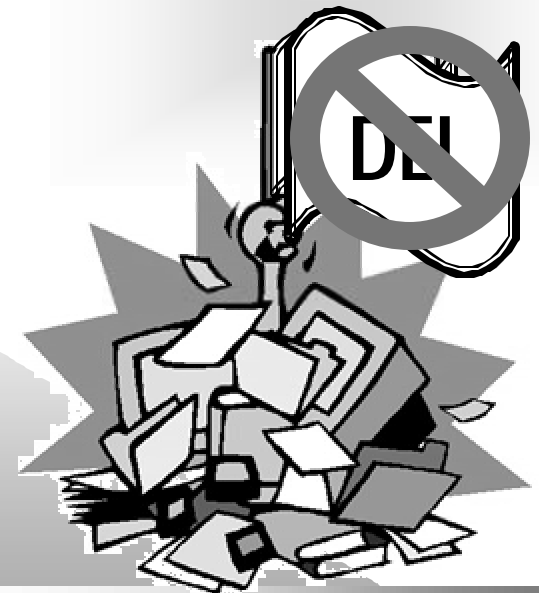
Ensure that records are adequate to support business needs

Remember...

 **Trustworthy records may be in any format**

 **Most agencies are now creating records electronically**

-  **Media and format issues**
-  **Version control**
-  **Distributed data**
-  **Everyone has a delete key**





And...

**Records contain information that
you use to conduct business.
Their systematic management is
essential to protect and preserve
records as evidence of actions.**

Furthermore...

Managing this information is critical because it

- 📁 Supports most important business of program/agency
- 📁 Affects other entities
- 📁 Provides accountability for you, your agency, and the Federal government





**So, to make sure information
is available when you need it,**

**You MUST manage your records or
you may be looking for information
here**










So, where do I start ?

Define and develop a policy for records management to




-  create and manage records that are authentic, reliable, have integrity and are usable,
-  ensure that records support business needs as long as required,

This policy should...

-  **derive from an analysis of business activities**
-  **identify legislation, laws, regulations, standards, and best practices that impact your business**
-  **identify risks of poorly managed records**
 -  **to your program**
 -  **to your agency**
 -  **to the Federal Government**
 -  **to the public and other stakeholders**

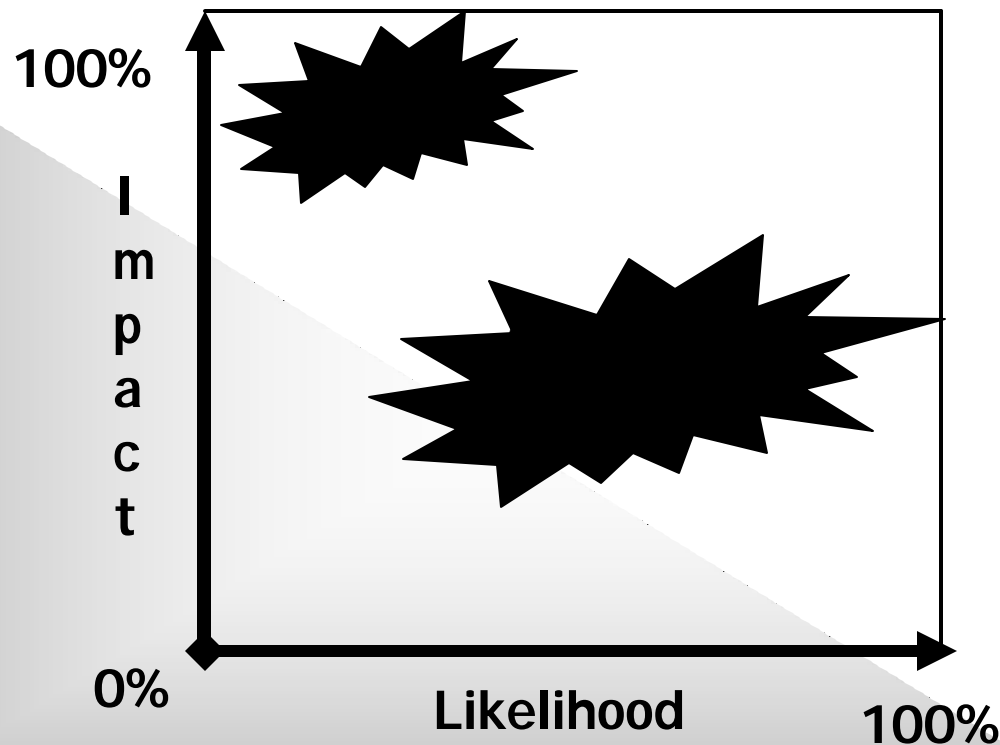
How do I do that?

Use risk assessment as a tool to identify

-  **possible risks**
-  **likelihood of these risks occurring**
-  **impact of these risks to your business processes**








How do I rate these risks?








OK, *now* what?

Use your findings to

-  **determine vulnerabilities**
-  **prioritize records management activities and allocate resources**
-  **develop recordkeeping requirements**
 -  **which documents to maintain?**
 -  **how long to retain them?**

My TO DO list:

-  **Become familiar with agency's records schedule**
-  **Identify records that aren't included**
-  **Ask my RO to get them included**
-  **Learn how to handle e-mail**
-  **Develop policy for recordkeeping requirements**

Is anyone out there?



NARA can work with you...
in partnership to resolve your
records management issues.



NARA's records management toolkit

Available now:



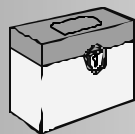
Appraisal Archivists
and
Targeted Assistance

NARA's toolkit

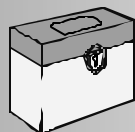
Available soon:



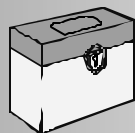
Permanent records schedules



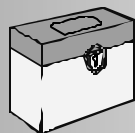
Flexible scheduling



ERM guidance



Updated and expanded training



E-learning



Certification

More help is available from your ...

-  **Records Officer**
-  **Agency Historian**
-  **General Counsel**
-  **Chief Information Officer**
-  **Inspector General**
-  **Information Security Officer**
-  **Interagency Groups**
-  **FOIA Officer**
-  **Webmaster**



A word from the White House

Judge Gonzalez video clip






In summary...



Business information is contained in your records







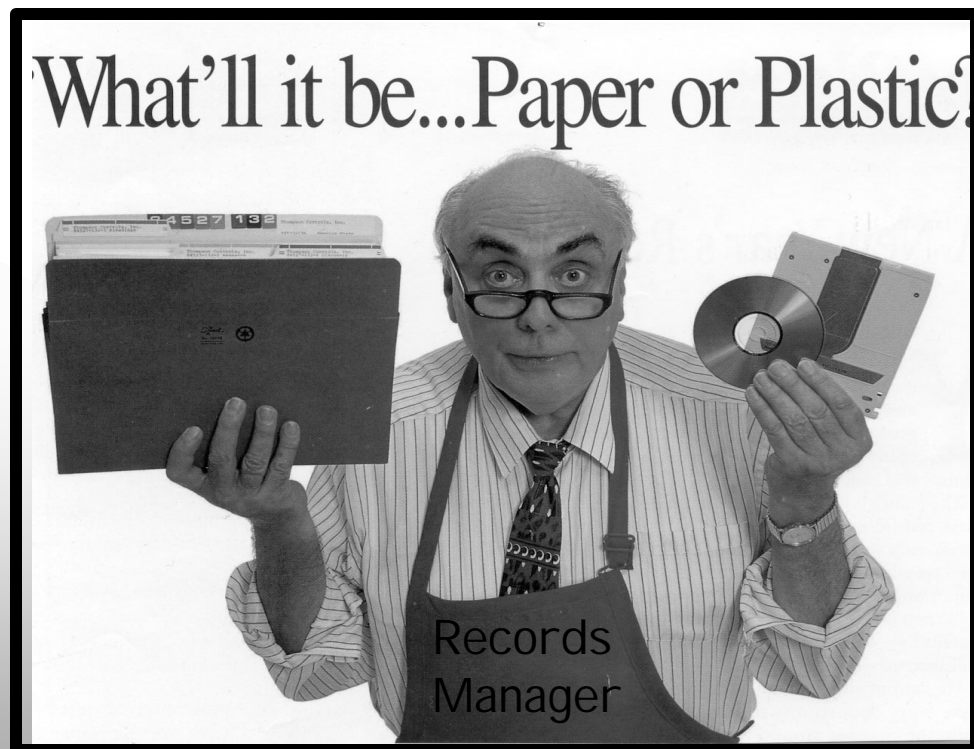
Your records must be managed to:

-  **meet business needs**
-  **comply with legal requirements and ensure accountability**
-  **meet the needs of stakeholders**
-  **protect records with enduring value**

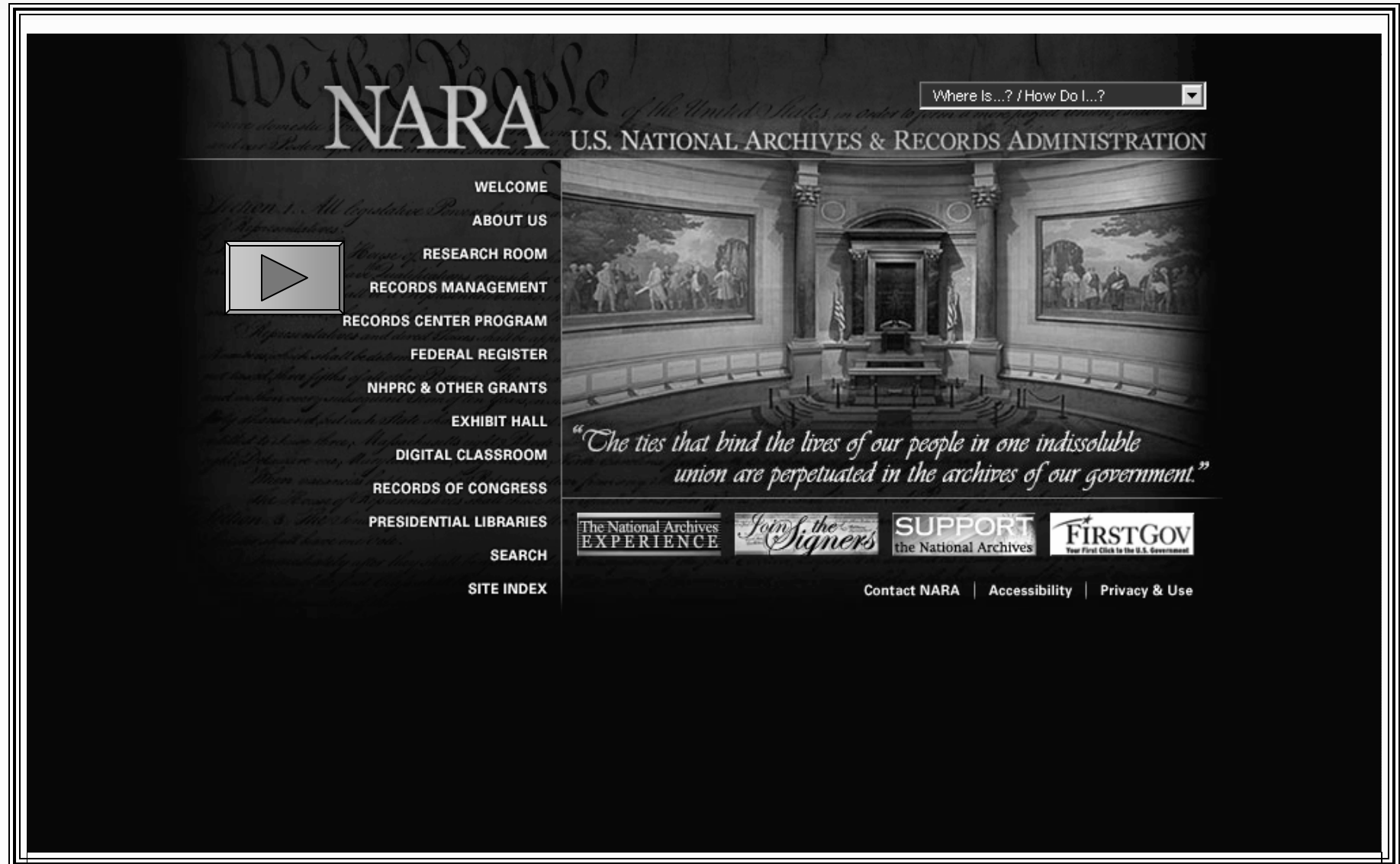
For more information...

 **Contact your agency records officer for guidance on**

-  **media choices**
-  **retention issues**
-  **storage issues**
-  **records policies**



For more information, www.archives.gov



NARA

...ready access to essential evidence...



Records Management

Where Is...? / How Do I...?

November 8, 2002

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FEDERAL REGISTER

NHPRC &
OTHER GRANTS

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NARA News and Events

- White House Announces "Our Documents: A National Initiative on American History, Civics, and Service." [More...](#)
- **The NARA web site will be unavailable Sunday, November 10, 2002, from 6:00 a.m. to noon EST for scheduled maintenance. We apologize for any inconvenience this may cause.**

Featured Topics

- **White House Counsel Judge Alberto Gonzales discusses Records Management.**
Judge Gonzales comments on the importance of Federal agencies' records officers and all Federal employees as stewards of records. [More...](#)
- **What's happening with NARA's efforts to improve records management?**
We welcome your comments on our new proposal for the Redesign of Federal Records Management. [More...](#)
- **Learn more about our work with the Electronic Records Management Initiative.**
The E-Government initiative will provide the tools that agencies will need to manage their records in electronic form. [More...](#)
- **Concerned about security?**
We invite you to learn more about Vital Records, a necessary part of any successful agency records management program. [More...](#)

Questions ?

